



## **Performance Management Process Overview**

### Purpose and objectives of LSC's performance management process

The performance management process is intended to be fair and yield employee performance assessments and performance plans based on a review and analysis of available employee work. The parties recognize the importance of discussions between managers and employees regarding performance throughout the year. These conversations provide timely opportunities to identify specific performance challenges, acknowledge successes, explore new growth opportunities, and address other issues. LSC conducts annual performance assessments of all employees, which should be completed no later than three months following the conclusion of the assessment year, or at such other times as necessitated by circumstance. The performance management process helps accomplish the following:

- Provide periodic appraisals of work performance to determine if employees are meeting reasonable workplace standards and goals.
- Provide managers and employees with the opportunity to identify strengths and areas for growth for the purpose of improving employee performance and developing new skills.
- Provide employees with performance expectations and notice of current performance, and encourage employees to seek creative solutions and push to reach identified goals.
- Provide a clear record of decisions about potential rewards and consequences.

The parties recognize the importance of addressing performance deficiencies in a timely manner and will endeavor to address performance deficiencies with employees promptly to allow a reasonable opportunity for correction before the annual assessment.

### Assessment process

The assessment of employee performance is a dynamic process that requires regular interaction and communication between a manager and his or her staff members. The manager's assessment of an employee's performance will be based on a review of the employee's performance of the duties outlined in his or her position description, as well as of projects and assignments set forth in the annual performance plan that is jointly created by the manager and employee and the eight core competencies that undergird our work. If an employee assumes a new position and performs in it for more than three months during the assessment period, his or her assessment will reflect the work performed under both the former and the new positions.

The parties recognize that the office head may delegate to the appropriate level manager the responsibility for completing assessments of his or her staff, but that the office head remains responsible for ensuring that all assessments are completed in accordance with the performance management process. Whenever an office head intends to delegate this responsibility, he or she will provide written notice to the affected staff before the review period begins, including whenever the office head intends to share the review responsibility for either the entire assessment year or a subsection of it.

### Training

Before the commencement of the 2014 assessment cycle, employees will receive training on the performance assessment process, which will include a review of the process for creating a performance plan, as well as the core competencies and the standards reflected in each of the performance ratings. Thereafter, employees will receive training to address any changes made to the performance management process.

### Performance Plans

Each year, each office head will draft an office performance plan that identifies office goals and activities, performance standards, timelines, and how office goals and activities serve LSC's strategic goals. Following approval of the office performance plan by the President, and prior to creating individual employee performance plans, the office head will meet with his or her staff to review and share copies of the office performance plan.

Each year, the office head, or the designated manager, will draft an annual performance plan for each member of his or her staff. The employee performance plan identifies the work, consistent with the employee's position description, that the employee is expected to perform and how that work relates to the office performance plan and to LSC's strategic goals. The employee performance plan will identify performance standards that can be expressed in terms such as quantity, quality, timeliness, process, product, or other measure of performance that set forth the performance threshold or expectations that the employee must achieve to Meet Expectations. Employee performance plans will also identify areas for training and development that can be used to help the employee improve performance and grow. The manager will discuss the proposed performance plan with each employee and make any agreed-upon changes. The performance plans will then be reviewed by the OHR Director and, for offices that report to the Vice President for Grants Management, by the Vice President for Grants Management. The final performance plan will be delivered to the employee by the manager no later than March 31<sup>st</sup>.

In the case of a disagreement about the content of an employee performance plan, the manager will make the final decision. If the employee has concerns about the performance plan, he or she can discuss the matter with the OHR Director.

Directors will share with employees any changes that are made to the office performance plan. The manager will update and make modifications to an employee's performance plan, as necessary, to reflect changes after the plan is formulated, such as a shift in priorities or revised performance standards. The manager will discuss with affected staff all new assignments and all necessary updates, adjustments, and modifications to the performance plan, prior to implementation.

#### Six-month check-in

At the conclusion of the sixth month of the annual assessment period, each employee will have an informal check-in with his or her manager of at least 15 minutes to review progress and identify any issues or concerns. The check-in will be documented on a simple form to capture the manager's assessment of performance to date. If an employee disagrees with this check-in document, he or she may submit a written response to his or her manager. The manager will review and reply to the response. Both the employee response and the manager's reply will be appended to the six-month check-in document.

#### Self-Assessment

The assessment process also includes an employee self-assessment that allows an employee to assess him or herself on the completion of the work set forth in the performance plan and position description by assigning a performance rating and drafting an explanatory narrative for each of the eight core competencies. The employee will use the self-assessment to characterize accomplishments since hire or the last review date, including goals met or additional achievements above and beyond expectations. The self-assessment also gives the employee an opportunity to describe challenges overcome, lessons learned, and offer suggestions for how his or her manager can provide additional support. The self-assessment will be completed by each employee within the first quarter of each calendar year. Each manager will review his or her employee self-assessments prior to completing the employee assessments (Manager's Assessment of Employee).

#### Colleague Feedback

The assessment process is designed to provide an opportunity for each employee to receive a performance assessment that incorporates feedback from his or her supervisor, as well as from coworkers who are well-positioned to contribute to a comprehensive assessment of the employee's performance. On a form provided by OHR, each employee will have the opportunity to present his or her manager with the names of the three individuals (and two back-ups) best-positioned to offer feedback on the various aspects of the employee's performance and indicate why the employee selected these individuals. The manager will solicit feedback directly from all or a subset of these individuals, using a Colleague Feedback Form provided by OHR. Even in the absence of employee input, the manager will make reasonable effort to solicit feedback from at least three individuals and will advise employee of the names of those from whom feedback is being requested. No employee will be compelled

to provide feedback on another employee. The assessed employee will not have access to completed Colleague Feedback Forms, and any information from them that his or her manager uses in the assessment will, to the extent possible, be presented by the manager so as not to enable the employee being assessed to identify the author of the comment.

#### Annual Assessment

Each office head will draft an assessment for each of his or her employees which includes a performance rating and a narrative for each of the eight core competencies that will reflect how the employee met the expectations outlined in the performance plan and position description. The assessment will capture accomplishments realized and challenges overcome, as well as identify any deficiencies or areas in which the employee needs to improve and develop. The assessment also will include an overall rating for the employee with a supporting narrative. The office head will submit the assessments to OHR for review. OHR will address with the office head any concerns about the assessments. Following OHR's review, the office head will submit the assessments to his or her supervisor, or the supervisor's designee, for review. The office head will, as necessary, revise the assessments to reflect any appropriate changes. The OHR and supervisor reviews will focus on whether the assessment narratives provide the level of detail and specificity necessary to support the assigned rating, as well as on whether office heads are consistently applying and interpreting the performance ratings.

Each employee will receive his or her assessment at least two business days prior to meeting with the office head. The employee will acknowledge receipt of the assessment. During the meeting, the employee and office head will review the assessment and the employee may raise any concerns. After hearing the employee's concerns, the office head may revise the assessment, or will affirm the initial assessment, and will provide the employee with his or her final written assessment.

#### Manager review

The process also provides for upward feedback, and each employee may provide a leadership assessment of his or her manager(s). For those employees who elect to participate in this review, all reasonable efforts will be made to preserve confidentiality and to present comments so as not to reveal the identity of the author. At times, however, management may be required to reveal an employee's identity to address a serious concern or violation. Employees will be strongly encouraged to openly participate in this process as knowing the employee's identity will provide needed context and render the information provided in the leadership assessment more useful to the manager's supervisor.

#### Ratings

Employees will be assessed on each of the core competencies that form the basis of the assessment and will be assigned one of four performance ratings for each of the competencies. The ratings are: Exceeds Expectations, Meets Expectations, Needs Improvement, and Unacceptable.

#### Review of assessment process

If an employee disagrees with the final written assessment, within thirty (30) days he or she may submit a written response to reflect the disagreement, which will be appended to the final written assessment. The employee may also file a written appeal to the LSC President or his or her designee within fifteen (15) days of receipt of the assessment. All documents used by the office head in preparing the assessment will be provided to the LSC President or his or her designee as part of the appeal process. Within thirty (30) days, the LSC President or his or her designee will respond in writing to the appeal. The LSC President has the authority to change the final written assessment.

An employee may file a grievance if he or she believes that the assessment process was not followed. An employee may not file a grievance if he or she disagrees with the content or rating in the six-month check-in or in the final written assessment.

#### New employee review

New employees will be assessed using a modified version of the standard assessment form and will receive a 45-day check-in and a 90-day assessment. New employees will receive training on the assessment process and an interim performance plan within fifteen (15) days of hire. New employees will be folded into the regular assessment cycle as soon as practicable based on date of hire.

#### Performance pay

In the event LSC would like to introduce a financial reward for performance program, LSC will discuss the matter with the Union and bargain as necessary.

#### Consequences of inadequate performance

Discussions between managers and employees regarding performance throughout the year are designed to provide an employee with notice of how he or she is performing, address issues, review expectations, and identify actions needed, including possible training, to improve performance. At its discretion, LSC may elect to place an underperforming employee on a formal Performance Improvement Plan (PIP), which is designed to assist and support the employee in his or her efforts to improve identified performance deficiencies during a specified time period. The PIP process is set forth in section 10.7 of the Employee Handbook.

When determining the appropriate response to an assessment of inadequate performance, LSC will consider, among other things, the quality of the employee's overall performance, whether

the identified deficiencies during the review period are inconsistent with prior performance, the level and nature of the notice of performance deficiencies provided to the employee during the course of the review period, and evidence of the employee's success in remediating the identified issues and concerns.

Each situation related to deficient performance must be evaluated individually and, in instances involving serious deficiencies or mistakes, it may be necessary to discharge the employee immediately. The employee will receive written documentation of any performance-related action being taken against him or her.

#### Administration of process

OHR is responsible for ensuring compliance with the process. Any questions regarding the performance assessment process should be directed to the OHR Director.